

Electronic Acknowledgement Receipt

EFS ID:	2416460
Application Number:	10679071
International Application Number:	
Confirmation Number:	5914
Title of Invention:	Zero premium equity participating securities
First Named Inventor/Applicant Name:	Kevin G. Woodruff
Customer Number:	26285
Filer:	Mark G. Knedeisen
Filer Authorized By:	
Attorney Docket Number:	030675
Receipt Date:	02-NOV-2007
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Application Type:	Utility under 35 USC 111(a)

Payment information:

Submitted with Payment	yes
Payment was successfully received in RAM	\$ 180
RAM confirmation Number	5668
Deposit Account	111110
The Director of the USPTO is hereby authorized to charge indicated fees and credit any overpayment as follows: Charge any Additional Fees required under 37 C.F.R. Section 1.16 and 1.17	

File Listing:

Document Number	Document Description	File Name	File Size(Bytes) /Message Digest	Multi Part /.zip	Pages (if appl.)
1	Miscellaneous Incoming Letter	Amendment_Transmittal.pdf	269999	no	4
			620d865597603aa8882e056cc93f5976f063a588		
Warnings:					
Information:					
2		Response.pdf	66856	yes	16
			256024ca3c33315565f96d0de37bb87c2a4b2b63		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Amendment - After Non-Final Rejection		1	1	
	Claims		2	9	
	Applicant Arguments/Remarks Made in an Amendment		10	16	
Warnings:					
Information:					
3		IDS.pdf	422491	yes	4
			30cb57801d5d72e6c072541fdb3320ffe1231799		
	Multipart Description/PDF files in .zip description				
	Document Description		Start	End	
	Information Disclosure Statement Letter		1	2	
	Information Disclosure Statement (IDS) Filed		3	4	
Warnings:					
Information:					
4	NPL Documents	Rev_Rul_2003_97_NPL.pdf	694306	no	11
			7b274e4092ca9d37c3dc3b8d70b501797273f9d5		
Warnings:					
Information:					
5	NPL Documents	10677172.pdf	1139823	no	33
			3e6497f315d77b2c20e651051031e656c084278b		
Warnings:					
Information:					
6	NPL Documents	10677172__9_27_2007_OA__NPL.pdf	484056	no	13
			f848e84a86b5457924b3e471a9a593f946543066		

Warnings:					
Information:					
7	NPL Documents	10679054_7_31_2007_OA_NPL.pdf	626180 2c4cc69d70aac2d5cef474e0f1b1057a91e2fc5b	no	17
Warnings:					
Information:					
8	Fee Worksheet (PTO-06)	fee-info.pdf	8173 e0fc1662b811f33d963f653ad7036f1d8de2214c	no	2
Warnings:					
Information:					
Total Files Size (in bytes):			3711884		
<p>This Acknowledgement Receipt evidences receipt on the noted date by the USPTO of the indicated documents, characterized by the applicant, and including page counts, where applicable. It serves as evidence of receipt similar to a Post Card, as described in MPEP 503.</p> <p><u>New Applications Under 35 U.S.C. 111</u> If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.</p> <p><u>National Stage of an International Application under 35 U.S.C. 371</u> If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.</p> <p><u>New International Application Filed with the USPTO as a Receiving Office</u> If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.</p>					